



Docket No.  
50353 / HQ9-99-048

# Declaration and Power of Attorney For Patent Application

## English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**HYDROXYPHENYL COPOLYMERS AND PHOTORESISTS COMPRISING SAME**

the specification of which

**RECEIVED**

**JUN 08 1999**

(check one)

☐ is attached hereto.

☒ was filed on January 12, 1999 as United States Application No. or PCT International Application Number 09/228,694 and was amended on \_\_\_\_\_

**GROUP 1700**

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/>

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (list name and registration number)

Peter F. Corless (Reg. No. 33,860)  
 Sewall P. Bronstein (Reg. No. 16,919)  
 David G. Conlin (Reg. No. 27,026)  
 George W. Neuner (Reg. No. 26,964)  
 Linda M. Buckley (Reg. No. 31,003)  
 Peter J. Manus (Reg. No. 26,766)  
 Cara Z. Lowen (Reg. No. 38,227)  
 William J. Daley, Jr. (Reg. No. 35,487)  
 Robert L. Buchanan (Reg. No. 40,927)  
 Christine C. O'Day (Reg. No. 38,256)  
 Robert L. Goldberg (Reg. No. 22,456)

Send Correspondence to: Peter F. Corless, Esq.  
 P.O. Box 556  
 Marlborough, MA 01752

Direct Telephone Calls to: (name and telephone number)  
 Peter F. Corless, Esq. (508) 485-7772

Full name of sole or first inventor	
<b>Hiroshi Ito</b>	
Sole or first inventor's signature	Date
<i>Hiroshi Ito</i>	May 3, 1999
Residence	
7149 Echo Ridge Drive, San Jose, California 95120	
Citizenship	
Japan	
Post Office Address	
Same	

Full name of second inventor, if any	
<b>Ashish Pandya</b>	
Second inventor's signature	Date
<i>Ashish Pandya</i>	May 14, 1999
Residence	
31 Woodbine Road, Natick, Massachusetts 01760	
Citizenship	
United States of America	
Post Office Address	
Same	

Full name of third inventor, if any	
<b>Roger F. Sinta</b>	
Third inventor's signature	Date
Residence	
<b>9 Anna Road, Woburn, Massachusetts 01801</b>	
Citizenship	
<b>United States</b>	
Post Office Address	
<b>Same</b>	

Full name of fourth inventor, if any	
Fourth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	

Full name of fifth inventor, if any	
Fifth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	

Full name of sixth inventor, if any	
Sixth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	


Docket No.  
50353

# Declaration and Power of Attorney For Patent Application

## English Language Declaration

**RECEIVED**
**JUN 08 1999**
**GROUP 1700**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**PARA- AND META-HYDROXYPHENYL COPOLYMERS AND PHOTORESISTS COMPRISING SAME**

the specification of which

(check one)

☐ is attached hereto.

☒ was filed on January 12, 1999 as United States Application No. or PCT International Application Number 09/228,694 and was amended on \_\_\_\_\_

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/>

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. *(list name and registration number)*

Peter F. Corless (Reg. No. 33,860)  
 Sewall P. Bronstein (Reg. No. 16,919)  
 David G. Conlin (Reg. No. 27,026)  
 George W. Neuner (Reg. No. 26,964)  
 Linda M. Buckley (Reg. No. 31,003)  
 Peter J. Manus (Reg. No. 26,766)  
 Cara Z. Lowen (Reg. No. 38,227)  
 William J. Daley, Jr. (Reg. No. 35,487)  
 Robert L. Buchanan (Reg. No. 40,927)  
 Christine C. O'Day (Reg. No. 38,256)  
 Robert L. Goldberg (Reg. No. 22,456)

Send Correspondence to: Peter F. Corless, Esq.  
 P.O. Box 556  
 Marlborough, MA 01752

Direct Telephone Calls to: *(name and telephone number)*

Peter F. Corless, Esq. (508) 485-7772

Full name of sole or first inventor	
Hiroshi Ito	
Sole or first inventor's signature	Date
Residence	
7149 Echo Ridge Drive, San Jose, California 95120	
Citizenship	
Japan	
Post Office Address	
Same	

Full name of second inventor, if any	
Ashish Pandya	
Second inventor's signature	Date
Residence	
31 Woodbine Road, Natick, Massachusetts 01760	
Citizenship	
United States of America	
Post Office Address	
Same	

Full name of third inventor, if any	
Roger F. Sinta	
Third inventor's signature	Date
<i>Roger F. Sinta</i>	May 9, 1999
Residence	
9 Anna Road, Woburn, Massachusetts 01801	
Citizenship	
United States	
Post Office Address	
Same	

Full name of fourth inventor, if any	
Fourth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	

Full name of fifth inventor, if any	
Fifth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	

Full name of sixth inventor, if any	
Sixth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	





Practitioner's Docket No. 50353

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: **Pandya et al.**

Serial No.: **0 9 / 228,694**

Group No.: **Not Yet Assigned**

Filed: **January 12, 1999**

Examiner: **Not Yet Assigned**

For: **HYDROXYPHENYL COPOLYMERS AND PHOTORESISTS COMPRISING SAME**

Assistant Commissioner for Patents  
Washington, D.C. 20231

**ASSENT OF ASSIGNEE TO CORRECTION  
AND/OR ADDITION OF INVENTOR(S)**

Shipley Company, L.L.C.

(type or print name of assignee)

455 Forest Street

Address

Marlborough, MA 01752

**Assignment**

☒ recorded on January 12, 1999

Reel 9716

Frame 0683

☐ recorded herewith

☐ A separate ☐ "ASSIGNMENT" (DOCUMENT) COVER SHEET is attached.

or

☐ FORM PTO 1595 is attached.

Assignee hereby assents to the correction of inventorship filed

☒ herewith.

☐ on \_\_\_\_\_

**CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. § 1.8(a))**

I hereby certify that this correspondence is, on the date shown below, being:

**MAILING**

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

**FACSIMILE**

☐ transmitted by facsimile to the Patent and Trademark Office.

Date: 6/2/99

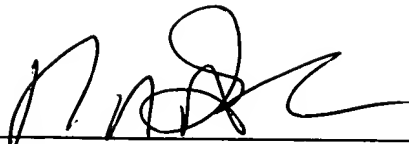
Deanna M. Landry  
Signature

Deanna M. Landry

(type or print name of person certifying)

**ASSIGNEE STATEMENT**

A "STATEMENT UNDER 37 C.F.R. § 3.73(b)" is attached.

A handwritten signature in black ink, appearing to read 'P. Corless', written over a horizontal line.

Signature

**Peter F. Corless, Practitioner of Record**

*(type or print name and title of person authorized to sign  
on behalf of assignee)*



Practitioner's Docket No. 50353

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Pandya et al.

Application No.: 09/ 228,694      Group No.: Not Yet Assigned

Filed: January 12, 1999

For: HYDROXYPHENYL COPOLYMERS Examiner: Not Yet Assigned

AND PHOTORESISTS COMPRISING SAME

Issue Date: \_\_\_\_\_

Patent\*: \_\_\_\_\_

Issue Date: \_\_\_\_\_

Reexamination No.: \_\_\_\_\_

Issue Date: \_\_\_\_\_

Reissue: \_\_\_\_\_

\* NOTE: Insert name(s) of inventor(s) and title for patent.

Assistant Commissioner for Patents  
Washington, D.C. 20231

**STATEMENT UNDER 37 C.F.R. § 3.73(b)—  
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION**

---

**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\***  
(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

37 C.F.R. § 1.8(a)

37 C.F.R. § 1.10\*

☒ with sufficient postage as first class mail.

☐ as "Express Mail Post Office to Addressee"

Mailing Label No. \_\_\_\_\_ (mandatory)

**TRANSMISSION**

☐ transmitted by facsimile to the Patent and Trademark Office.

Deanna M. Landry  
Signature

Date: 6/2/99

Deanna M. Landry

(type or print name of person certifying)

**\*WARNING:** Each paper or fee filed by Express Mail **must** have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. § 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will **not** be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

NOTE: 37 CFR 3.73(b) states: "When an assignee seeks to take action in a matter before the Office with respect to a patent application, . . . , patent, registration, or reexamination proceeding, the assignee must establish its ownership of the property to the satisfaction of the Commissioner. Ownership is established by submitting to the Office, in the Office file related to the matter in which action is sought to be taken, documentary evidence of a chain of title from the original owner to the assignee (e.g., copy of an executed assignment submitted for recording) or by specifying (e.g., reel and frame number) where such evidence is recorded in the Office. The submission establishing ownership must be signed by a party authorized to act on behalf of the assignee. Documents submitted to establish ownership may be required to be recorded as a condition to permitting the assignee to take action in a matter pending before the Office."

NOTE: "Section 3.73(b) is amended to remove the sentence requiring an assignee to specifically state that the evidentiary documents have been reviewed and to certify that title is in the assignee seeking to take action. The sentence is deemed to be unnecessary in view of the amendment to §§ 1.4(d) and 10.18." Notice of Oct. 10, 1997, 62 Fed. Reg. 53,131, at 53,174.

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

### IDENTIFICATION OF ASSIGNEE

2. Shipley Company, L.L.C.

Name of assignee

Limited Liability Company

Type of assignee, e.g., corporation, partnership, university, government agency, etc.

### PERSON AUTHORIZED TO SIGN

3. Peter F. Corless

(type name of person authorized to sign on behalf of assignee)

Attorney of Record

Title of person authorized to sign

NOTE: The Notice of April 30, 1993 (1150 O.G. 62-64) points out:

"The statement under 37 CFR 3.73(b) may be signed on behalf of the assignee in the following two manners if the assignee is an organization (e.g., corporation, partnership, university, government agency, etc.).

"(1) The statement may be signed by a person in the organization having apparent authority to sign on behalf of the organization. An officer (president, vice-president, secretary, or treasurer) is presumed to have authority to sign on behalf of the organization. The signature of the chairman of the board of directors is acceptable, but not the signature of an individual director. A person having a title (manager, director, administrator, general counsel) that does not clearly set forth that person as an officer of the assignee is not presumed to be an officer of the assignee or to have authority to sign the statement on behalf of the assignee. A power of attorney from the inventors in an organization to a practitioner to prosecute a patent application does not make the practitioner an official of an assignee or empower the practitioner to sign the statement on behalf of the assignee.

"(2) The statement may be signed by any person, if the statement includes an averment that the person is empowered to sign the statement on behalf of the assignee and, if not signed by a registered practitioner, the statement must be in oath or declaration form. Where a statement does not include such an averment, and the person signing does not hold a position in the organization that would give rise to a presumption that the person is empowered to sign the statement on behalf of the assignee, evidence of the person's authority to sign will be required."

[Author's Note: The requirement for an oath or declaration for this statement by a person not a registered practitioner was rescinded by the rules effective December 1, 1997.]

(complete the following, if applicable)

☒ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

### BASIS OF ASSIGNEE'S INTEREST

Ownership by the assignee is established as follows:

A.

1. ☒ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at  
Reel 9716, Frame 0683
2. ☐ An assignment (document) separately being submitted for recordal herewith.

### AND/OR

- B. ☒ A chain of title from the inventor(s) to the current assignee as shown below:

1. From: Ashish Pandya and Roger Sinta  
Name of inventor(s)

To: Shipley Company, L.L.C.

Recorded in PTO: Reel  
9716, Frame 0683

2. From: \_\_\_\_\_  
Name of inventor(s) or assignee

To: \_\_\_\_\_

Recorded in PTO: Reel  
\_\_\_\_\_, Frame \_\_\_\_\_

3. From: \_\_\_\_\_  
Name of inventor(s) or assignee

To: \_\_\_\_\_

Recorded in PTO: Reel  
\_\_\_\_\_, Frame \_\_\_\_\_

*(check item below, and add details, if applicable)*

- ☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.

### COPIES OF DOCUMENTS IN CHAIN OF TITLE

*(complete this item, if copies are being sent)*

- ☒ Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:

☒ A      ☒ 1      ☐ 2

☒ B      ☒ 1      ☐ 2      ☐ 3

Reg. No.: 33,860

Tel. No.: ( 508 ) 485-7772

Customer No.:

\_\_\_\_\_  
(Signature of authorized person)

\_\_\_\_\_  
(type or print name of authorized person)

\_\_\_\_\_  
Title of authorized person

  
\_\_\_\_\_  
SIGNATURE OF PRACTITIONER

Peter F. Corless

\_\_\_\_\_  
(type or print name of practitioner)

P.O. Box 556

\_\_\_\_\_  
P.O. Address

Marlborough, MA 01752  
\_\_\_\_\_



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APRIL 22, 1999

PETER F. CORLESS, ESQ.  
P.O. BOX 556  
MARLBOROUGH, MA 01752



\*100952138A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 01/12/1999

REEL/FRAME: 9716/0683  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

PANDYA, ASHISH

DOC DATE: 01/11/1999

ASSIGNOR:

SINTA, ROGER F.

DOC DATE: 01/11/1999

ASSIGNEE:

SHIPLEY COMPANY, L.L.C.  
455 FOREST STREET  
MARLBOROUGH, MASSACHUSETTS 01752

SERIAL NUMBER: 09228694  
PATENT NUMBER:

FILING DATE: 01/12/1999  
ISSUE DATE:

TONYA LEE, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS